



MINISTRY OF TRANSPORT

NSW Bus Operator Accreditation

Audit Tool

**To be completed by authorised Auditors or as an internal review
for accredited bus operators holding:**

Regular Passenger Service

and/or

**Long Distance, Tourist and Charter
Bus Operator Accreditation**

Table of Contents

Section	Description	Page No.
1	Audit Details.....	3
2	Auditor Details.....	3
3	Operator Details.....	3
4	Persons involved in Audit.....	4
5	Current Details.....	4
6	General Details.....	4
7	Management Information System.....	5
8	Bus Operator Management & Records.....	6
9	Safety Management Systems (SMS).....	8
10	Buses.....	18
11	Records Management.....	19
12	Audit Meeting.....	20
13	Audit Finding.....	21
14	Team Leaders 'Notes and Comments'.....	22

Introduction

This document has been developed to assist the auditing of bus operators who hold NSW Ministry of Transport Bus Operator Accreditation.

Key Definitions in this document include:

- Large Bus Operator - refers to a bus operator with at least 20 employees;
- Small Bus Operator - refers to a bus operator with less than 20 employees.

SECTION 1: Audit Details

Date of Audit	Time of Audit	Audit Type	Audit Location
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Does this Audit have an area of Focus? (MINISTRY USE ONLY) No Yes  Give details

Previous Audit Results Bus Maintenance Drivers SMS D&A Complaint

SECTION 2: Auditor Details

Name of Auditor	Auditor's Reference Number	Telephone Number
<input type="text"/>	<input type="text"/>	<input type="text"/>
Mobile Number	Facsimile	Email Address
<input type="text"/>	<input type="text"/>	<input type="text"/>
Postal Address	Postcode	
<input type="text"/>	<input type="text"/>	

SECTION 3: Operator Details

Name of Accredited Bus Operator	Accreditation Number	Telephone Number
<input type="text"/>	<input type="text"/>	<input type="text"/>
Trading Name	Mobile Number	Facsimile
<input type="text"/>	<input type="text"/>	<input type="text"/>
Postal Address	Postcode	
<input type="text"/>	<input type="text"/>	
Depot Address	Postcode	
<input type="text"/>	<input type="text"/>	
Email Address	<input type="text"/>	

Regular Passenger Service Certificate of Accreditation sighted Yes No

Number of buses approved to operate	Number of buses operated at time of Audit
<input type="text"/>	<input type="text"/>

Long Distance Tourist or Charter Certificate of Accreditation sighted Yes No

Number of buses approved to operate	Number of buses operated at time of Audit
<input type="text"/>	<input type="text"/>

Approved Bus Operator Training Course certificate sighted Yes No

Does the Operator hold any other accreditation? Yes No

Notes and Comments

In the case of a Corporation, who is the nominated person who has completed an approved Bus Operator training course?

Name of Nominated person

N/A

SECTION 4: Persons involved in Audit

Note: The person involved in the Audit must be either the Accredited Operator or a Designated Manager/Director.

Name of Person involved in the Audit

Position Title

Telephone Number

Mobile Number

Facsimile

Postal Address

Postcode

Is this person the:

Accredited Operator?

Yes No

Designated Manager/Director?

Yes No

Is the Designated Manager/Director or accredited operator responsible for the operation of any other public passenger services?

Yes No

SECTION 5: Current Details

1. Are the Operator's contact details the same as on their Annual Self Assessment Report?

Yes No N/A

Notes and Comments

2. Is address of premises where buses are kept still the same?

Yes No

Notes and Comments

3. Is the Designated Manager/Director the same as noted on last assessment?

Yes No N/A

Notes and Comments

3(a). If answered No to any of the above - has the Ministry of Transport been informed of the Change? (Change of Information Form can be obtained from the MyRecords facility on the Ministry's website - www.transport.nsw.gov.au under Business and Licensing)

Yes No N/A

Notes and Comments

SECTION 6: General Details

1. Is the Designated Manager/Director or an Accredited Operator managing the day-to-day operations of the bus service?

Yes No

Notes and Comments

SECTION 7: Management Information System

1. Does the Operator hold current Third Party Property Insurance cover of at least **\$5 million per bus** for the vehicles operated under this accreditation?

Yes No Notes and Comments

2. Can the Operator provide evidence that the insurance policies are current? **(i.e certificate of currency or confirmation of insurance issued not more than seven (7) days prior to the date of the audit) .**

Yes No Notes and Comments

3. Does the Operator maintain an insurance record for each vehicle in the fleet which includes:

- | | | |
|---------------------------------|------------------------------|-----------------------------|
| (a) Name of Operator | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (b) Name of Insurance Company | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (c) Policy Number | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (d) Expiry Date | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (e) Vehicle Registration Number | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

Notes and Comments

4. Are there any gaps in previous year's policies which would indicate that buses were operated whilst uninsured? If yes, retain a copy of such records.

Yes No Notes and Comments

5. Does the Operator have a Fleet Register, which includes vehicle identification number (VIN), fleet number (if appropriate) and registration details of each vehicle, including expiry date? (Obtain copies of registration papers)

Yes No Notes and Comments

6. Does the Operator operate any buses that are not included on the fleet register? If yes provide a list of such vehicles?

Yes No Notes and Comments

SECTION 7: Management Information System – Continued

7. Is the Operator operating buses in excess of the approved accredited number of buses as noted on the Accreditation Certificate? If yes, explain why. (Refer to Section 3 – Operator Details)

Yes No Notes and Comments

8. Does the Operator maintain a Complaints Register to record complaints and actions taken?

Yes No Notes and Comments

SECTION 8: Bus Operator Management & Records

1. Does the Operator keep a written or electronic record of the following particulars for each person who drives a bus in connection with the service (including current and for the past 5 years)?

- (a) Drivers full name and residential address Yes No
- (b) Driver's licence and driver authority number and expiry dates Yes No
- (c) The dates and times during which buses were driven by the person Yes No

Notes and Comments

2. Can the Operator demonstrate via documented evidence that they regularly ensure that all drivers, who drive a bus in connection with the service, have an appropriate and current driver licence and driver authority?

Yes No Notes and Comments

Passenger Manifest

LONG DISTANCE AND TOURIST SERVICES ONLY

NOTE: If a Long Distance, Tourist and Charter operator is using a bus within 40km from its usual depot, the operator is exempt from the requirements in Clause 84 of the Passenger Transport Regulation 2007.

- 3. Does the Operator have passenger manifest records which contain the following information: NA
- (a) The name of the passenger Yes No

SECTION 8: Bus Operator Management & Records - Continued

- (b). Date and time the passenger is due to board the bus Yes No
- (c). The seat number (if allocated) Yes No
- (d). The passenger's contact details, such as telephone number and address Yes No

Notes and Comments

CHARTER SERVICES ONLY

NOTE: If a charter bus operator maintains the records listed below for each charter journey then the Charter Operator is exempt from the requirements in Clause 84 of the Passenger Transport Regulation 2007.

4. Does the Operator maintain records for charter services which contain the following information: NA
- (a). The name, address and telephone number of the hirer Yes No
 - (b). Date and time of the charter Yes No
 - (c). Telephone number of a responsible passenger on the charter Yes No

Notes and Comments

5. Are the passenger manifest and/or charter journey records kept for 60 days? NA Yes No

Timetables

LONG DISTANCE SERVICES only

6. Can the Operator's timetable be reasonably met without the need for buses to break any relevant speed limits?

Yes No NA Notes and Comments

Managing School Student Behaviour on Buses (For operators who convey school students only)

7. Does the Operator have a documented procedure for managing school student behaviour that is compliant with the published guidelines?

Yes No N/A Notes and Comments

Standees on Buses

The Operator of a bus service must ensure that buses being used solely or principally for the conveyance of students to and/or from school are limited to travelling a maximum of **80 kilometres** per hour whenever a student passenger is required to stand.

8. Does the Operator have in place a system to ensure that their drivers comply with the standee requirements as above?

Yes No N/A Notes and Comments

SECTION 9: Safety Management Systems (SMS)

Element 1 – SMS Policy, Commitment and Objectives

1. Does the Operator have an SMS Policy?

Yes

No

Notes and Comments

2. Has the Policy been signed off by Senior Management?

Yes

No

Notes and Comments

3. Is the Policy placed in a prominent location and able to be viewed by staff and members of the public?

Yes

No

Notes and Comments

4. Is the Policy incorporated into the employee handbooks, induction and training materials?

Yes

No

Notes and Comments

Element 2 – Management Accountabilities, Responsibilities and Communication

1. Has a management representative been nominated to maintain, oversee and implement the SMS?

Yes

No

Notes and Comments

2. Does an organisational chart exist to show all positions and reporting relationships? (Not mandatory, assists with question 3)

Yes

No

Notes and Comments

3. Are position descriptions available for all positions involved in transport safety work?

Yes

No

Notes and Comments

4. Is a system in place to ensure staff are aware of changes in the SMS or safety related activities?

Yes

No

Notes and Comments

Element 3 – Risk Management

1. Does a Risk Register exist?

Yes

No

Does the Register:

(a) Identify hazards (potential and current)?

Yes

No

(b) Provide details regarding the severity of the hazards (if they occur)?

Yes

No

(c) Provide an indication relating to the likelihood of hazards occurring?

Yes

No

(d) Provide a risk rating (risk score) for each of the identified hazards and controls?

Yes

No

(e) Describe how the risks will be managed?

Yes

No

(f) Detail the employee/s responsible for the management of the identified risks?

Yes

No

Notes and Comments

SECTION 9: Safety Management Systems (SMS) - Continued

2. Has the Register been reviewed and updated as required? Yes No

Notes and Comments

Element 4 – Procedures and Documentation

(a). Bus Maintenance - (Records to be maintained for 5 years)

Vehicle Maintenance Plan

The accredited bus operator must have in place and adhere to a vehicle maintenance plan that is consistent with the bus manufacturers maintenance standards/specifications, and is capable of being audited.

1. Does the Operator have in place a system for recording and actioning reported defects? Yes No

Notes and Comments

2. Can the Operator provide evidence that faults have been rectified? Yes No

Notes and Comments

3. Does the Operator have a maintenance schedule in place that is consistent with, or better than the manufacturers recommended maintenance standards? Yes No

Notes and Comments

4. From a sample of maintenance records, is the maintenance carried out in accordance with the operator's maintenance schedule? Yes No

Notes and Comments

SECTION 9: Safety Management Systems (SMS) – Continued

5. Can the Operator provide Roads and Traffic Authority (RTA) Heavy Vehicle Inspection Scheme (HVIS) records for each vehicle?

Yes No Notes and Comments

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6. Has the Operator received any defect notices for any vehicles operated under its accreditation since the last audit?

Yes No Notes and Comments

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7. Has the Operator received any major and/or major grounded defect notices for any of its fleet since the last audit, that refer to any safety critical components including but not limited to:

- (a) Brakes Yes No
- (b) Steering Yes No
- (c) Suspension Yes No
- (d) Tyres Yes No

Notes and Comments

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SECTION 9: Safety Management Systems (SMS) - Continued

Vehicle Maintenance

The accredited bus operator must not carry out maintenance on, or repairs to, a bus and must not permit any other person to carry out maintenance on, or repairs to, a bus unless the operator or such other person is licensed for the purposes of the Motor Vehicle Repair Industry Authority (MVRIA) to carry out such work.

Note: Whilst it is required that the carrying out of repairs to, and maintenance on, buses is only carried out by licensed repairers, the Ministry of Transport has no objection to an unlicensed owner/operator of a bus undertaking basic maintenance tasks including: changing light bulbs, changing engine oil, greasing a bus, replacing seats, changing wheels/tyres and topping up fluid levels.

8. Can the Operator provide details of the person/s carrying out maintenance work on buses and their relevant MVRIA licence details and/or repairer licence numbers? Yes No

Notes and Comments

9. Has it been identified during the audit that the accredited operator, or someone other than an MVRIA qualified person, has carried out any maintenance or repairs on any Safety Critical Component? If yes, what type of work was identified? Yes No

Note: Safety Critical Components refer to any item of a vehicle relating to:

- Brakes
- Steering
- Suspension

Notes and Comments

Cleaning of Buses

10. Does the operator ensure that all vehicles operated under the accreditation are clean and tidy? Yes No Notes and Comments

(b). Bus Pre-Departure and End of shift Procedures

1. Does the Operator ensure that documented pre departure safety checks are completed? Yes No Notes and Comments

2. Has the operator developed and implemented a documented End of Shift procedure? Yes No Notes and Comments

SECTION 9: Safety Management Systems (SMS) - Continued

(c). General

1. Have the procedures covering Bus Maintenance, Driver Health Management, Bus Pre-departure & Sign-On and Incident Management been signed off by the operator or senior management?

Yes No Notes and Comments

2. Has the Operator informed and made these procedures available to all staff?

Yes No Notes and Comments

3. Does the Risk Register identify bus security as a risk?

Yes No

4. Does the Operator service a major transport interchange?

Yes No

Notes and Comments

If Yes to Q3 and/or Q4 the Operator must put in place procedures for bus security management (pro-forma 4.1). Further assistance can be obtained from the Bus Security - Tool Kit for Operators issued by the Ministry of Transport.

Element 5 – Employee Monitoring

1. Does the operator have in place procedures for the management of employee conditions which may impact on their fitness for duty?

Yes No Notes and Comments

2. Does the operator have in place a system to notify the Ministry of Transport where an employee has been medically retired or has retired due to ill health?

Yes No Notes and Comments

SECTION 9: Safety Management Systems (SMS) - Continued

3. Does the Operator have in place a Fatigue Management Program which includes the monitoring and recording of the following:

(a) Driving hours, to ensure that no drivers have exceeded the maximum permissible driving hours ?
Yes No

(b) Instances of secondary employment (and a system of monitoring to ensure that there is no impact on driver fatigue)?

Yes No Notes and Comments

4. **Vehicle Monitoring Devices - Long Distance, Tourist and Charter Services:** Does the Operator maintain VMD records for all journeys irrespective of length?

Yes No NA Notes and Comments

5. Are the records stored in continuous date order for the last 3 years?

Yes No NA Notes and Comments

6. Based on a sample of VMD records, were any breaches in driving hours identified? If Yes, provide details.

Yes No Notes and Comments

7. **LOG BOOK/WORK DIARY** (Log Book outside the 100 km radius) - Does the operator maintain Driver Log Book or Work Diary records for all journeys that are performed in excess of a 100 kilometre radius of the Operator's depot?

Yes No Notes and Comments

8. If a breach in driving hours has been detected, what steps or actions has the operator taken to remedy this breach and to prevent further breaches?

Notes and Comments

SECTION 9: Safety Management System (SMS) - Continued

Drug and Alcohol Program

1. Has the Operator conducted a risk assessment?

Yes No Notes and Comments

2. Is the Operator's program based on their risk assessment?

Yes No Notes and Comments

3. Did the Operator consult with employees throughout the program's development and implementation? If yes, describe.

Yes No Notes and Comments

NOTE: Operators are required to base their Drug and Alcohol Program on a risk assessment (SMS Element 3). Notwithstanding the outcome of the risk assessment, all operators are required to establish a Drug and Alcohol Policy. (Q4 – Q6). However, if the operator has demonstrated through the risk assessment that there is no risk associated with drugs and/or alcohol, supporting measures and testing arrangements are not required. (Skip Q7 – Q15 and go to Element 6).

Drug and Alcohol Program - Policy

4. Does the Operator have a drug and alcohol policy?

Yes No Notes and Comments

5. Is the Policy signed off by the operator or senior management?

Yes No Notes and Comments

6. Is the Policy located in a prominent position within the operator's business?

Yes No Notes and Comments

Notes and Comments

SECTION 9: Safety Management Systems (SMS) – Continued

N/A

Drug and Alcohol Program – Supporting Measures

7. Does the operator have the following supporting measures in place as part of the Drug and Alcohol Program?
- (a) Procedure for the identification, assessment and referral for those who have alcohol or other drug related problems? Yes No
 - (b) Education and awareness of transport safety employees of the health and safety effects, and the legal consequences of drug and alcohol misuse? Yes No
 - (c) The provision of assistance and support for transport safety employees who have a drug and alcohol problem? Yes No
 - (d) The action to be taken to deal with a contravention or a failure to comply with the requirements of the Act, Regulations, and the Drug and Alcohol Program? Yes No

Notes and Comments

Drug and Alcohol Program – Testing (If identified in the Operators Risk Assessment)

- 8. Has the operator identified testing as a requirement of their Drug and Alcohol Program following completion of their risk assessment? Yes No
- 9. Are testing arrangements in place? Yes No
- 10. Has the operator appointed an Authorised Officer for the purpose of drug and alcohol testing? Yes No
- 11. Does the operator employ an external testing contractor? N/A Yes No
- 12. Do the Authorised Officers hold a Certificate of Appointment issued by ITSRR? Yes No
- 13. Has the operator conducted any drug and alcohol testing on any transport safety employees since the last audit? Yes No
- 14. Have any confirmed positive tests been identified through the operators testing regime? Yes No

A confirmed positive test means:
1) In the case of alcohol, a breath analysis conducted by NSW Police which indicates over 0.02 pca.
2) In the case of urine, a confirmatory sample tested by an approved Laboratory; and
3) In the case of a blood test, any analysis confirming the presence of drugs or alcohol.

- 15. Did the operator notify the Ministry of Transport in writing, within forty eight (48) hours of becoming aware, of a confirmed positive test? N/A Yes No

Note: It is not necessary for operators to appoint Authorised Officers if they have no employees or their Risk Assessment determines that testing is not required.

SECTION 9: Safety Management Systems (SMS) – Continued

Element 6 – Training and Education

1. Does the operator have a staff induction program which includes SMS training?

Yes No Notes and Comments

2. Has the operator determined its staff training requirements and competency needs? If Yes, provide details.

Yes No Notes and Comments

3. Has the operator provided training to all staff and contractors in relevant safety procedures?

Yes No Notes and Comments

4. Does the operator maintain all training and qualification records for each employee?

Yes No Notes and Comments

Element 7 – Incident Management and Monitoring

1. Does the operator have in place a system for recording fleet incidents and accidents?

Yes No Notes and Comments

2. Have any buses operated in connection with the service been involved in any accidents or incidents which were required to be reported to the Office of Transport Safety Investigation (OTSI)?

Yes No Notes and Comments

Note: If an operator has been required to report any incidents to OTSI, auditors are to verify that notification has taken place.

3. Does the operator have a procedure to manage incidents both in and out of normal business hours (e.g. Standard Operating Procedures (SOPs) contact lists and emergency numbers etc)?

Yes No Notes and Comments

SECTION 9: Safety Management Systems (SMS) – Continued

4. Does the operator have a procedure to investigate and evaluate accidents/incidents and implement recommendations arising from such events?

Yes No Notes and Comments

5. Does the operator have a procedure to manage how incident data will be captured, recorded and reported on, so management can review the suitability of the existing risk controls within the organisation?

Yes No Notes and Comments

Element 8 – Audit and Evaluation

1. Has the operator developed a plan to audit their SMS at least annually?

Yes No Notes and Comments

2. Has the operator identified who will conduct the SMS audit?

Yes No Notes and Comments

3. Has an audit of the SMS been conducted at least annually? (proforma 8.1)

Yes No Notes and Comments

Note: The Annual Self Assessment Report (ASAR) is not an audit or evaluation of the SMS.

4. Did the audit identify deficiencies within the SMS?

Yes No Notes and Comments

If Yes, can the operator demonstrate how they addressed and rectified the identified deficiencies, (proforma 8.2)?= Notes

and Comments

SECTION 10: Buses

Accreditation Details (Signage) on Buses

1. Do all buses have accreditation details displayed appropriately?

Yes No Notes and Comments

Information in Buses (All operators)

2. Is the following information displayed in all buses?

- (a) A summary of the rights and obligations of passengers Yes No
- (b) Brief details (including telephone numbers) as to how complaints and enquiries relating to the operator's bus service can be made. Yes No

Notes and Comments

Equipment on Buses

3. Are all buses fitted with a device suitable for holding the Ministry of Transport Driver Authority (DA) card in such a manner as to enable the driver to display the card and allow passengers to see it?

Yes No Notes and Comments

Runaway Bus Procedures

4. Does the operator have Runaway Bus Procedures in place?

Yes No Notes and Comments

5. Do all buses have appropriate notification labels affixed correctly as per the Runaway Bus Procedures?

Yes No Notes and Comments

Seat Belts on Buses.

6. Has the accredited operator taken reasonable steps to ensure that passengers on buses fitted with seat belts are aware of their obligation to wear the seat belts?

Yes No N/A Notes and Comments

SECTION 10: Buses - Continued

Seating/Standing Capacity Signage

7. Do buses display maximum seating/standing capacity signs on the rear of the vehicle?

Yes No Notes and Comments

Destination Signage on REGULAR PASSENGER SERVICE (RPS) BUS SERVICES.

8. Do the buses operated on Regular Passenger Services have in place and display, on the front of the bus a destination sign, which is capable of being illuminated, which indicates for each separate destination, the route number and destination?

Yes No N/A Notes and Comments

Security camera and duress alarm systems on REGULAR PASSENGER SERVICE (RPS) BUS SERVICES

9. Does the operator, if carrying on a regular passenger service/s partly or wholly within the Metropolitan, Newcastle or Wollongong transport districts or within the City of Gosford or the Wyong local government area, have fitted to all buses used for those purposes, an approved Security Camera and duress alarm System?

Yes No N/A Notes and Comments

SECTION 11: Records Management

1. Have records been maintained in English and held for at least five (5) years?

Yes No Notes and Comments

SECTION 12: Audit Meeting

Meeting Opening Time

Date

Meeting Location

Attendees Name (print)

Position

Signature

Meeting Notes

Meeting Closing Time

Additional Notes - Next Scheduled Audit Recommended for:

Identified Deficiencies

Operators Comments

Operators Name

Signature

Date

SECTION 13: Audit Finding

Name of Accredited Operator

Accreditation Number

Name of Auditor

Auditor Reference Number

Audit Date

Audit Location

Section No.	Description	Comments
4	Persons involved in Audit	<input type="text"/>
5	Current Details	<input type="text"/>
6	General Details	<input type="text"/>
7	Management Information System	<input type="text"/>
8	Bus Operator Management & Records	<input type="text"/>
9	Safety Management System (SMS)	<input type="text"/>
10	Buses	<input type="text"/>
11	Records Management	<input type="text"/>
12	Audit Meeting	<input type="text"/>

Immediate Corrective Action to be taken

Name of Auditor

Signature

Date

Name of Operator

Signature

Date

